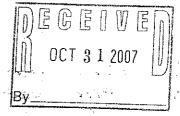
STATE OF ARIZONA OFFICE OF ADMINISTRATIVE HEARINGS



Parents and and through

No. 07C-DP-07057-ADE

Petitioners,

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Gilbert Unified School District No. 41,

Respondent.

ADMINISTRATIVE
LAW JUDGE
DECISION

HEARING: September 6-7, 2007

WITNESSES:² For Petitioners: Mother; Christopher Nicholls, Ph.D., Independent Evaluator; Kim Yamamoto, Friend of Parents and Special Needs Advocate ("Friend"); Janet Chao, Ed.D., Independent Evaluator.

For Respondent School District: Julene Robbins, Ph.D., Lead Psychologist, GUSD ("Lead Psychologist"); Nicki Serio, School Psychologist and Evaluator, GUSD ("School Psychologist"); Kristen Acton, Fifth Grade Regular Education Teacher, GUSD ("Fifth Grade Teacher"); Yuval Larsen, Sixth Grade Regular Education Teacher, GUSD ("Sixth Grade Teacher"); Rachel Strong, School Social Worker, GUSD ("School Social Worker"); Dana Simpson, Occupational Therapist, GUSD ("Occupational Therapist"); Amy Benton, Speech Language Pathologist, GUSD ("Speech Language Pathologist"); and Jennifer Fay, Speech Language Pathologist and GUSD Autism Consultant ("Autism Consultant").

ADMINISTRATIVE LAW JUDGE: Eric A. Bryant

² To avoid the use of proper names, in order to protect confidentiality, each witness, with the exception of independent evaluators Drs. Nicholls and Chao, is designated a generally descriptive title to be used in the body of the Decision. The proper names are grouped here for ease of redaction.

Office of Administrative Hearings 1400 West Washington, Suite 101 Phoenix, Arizona 85007 (602) 542-9826

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¹ The parties agreed during the pre-hearing conference that the court reporter's record would be the official record of the hearing, even though this tribunal has also made a digital recording of the proceedings for purposes of reviewing testimony.

 Parents bring this due process action, on behalf of Student, to challenge the determination made by Respondent Gilbert Unified School District that found Student not eligible for special education services under the disability category of autism. The law governing these proceedings is the Individuals with Disabilities Education Act ("IDEA"), 20 United States Code (U.S.C.) §§ 1400-1482 (as re-authorized and amended in 2004),³ and its implementing regulations, 34 Code of Federal Regulations (C.F.R.) Part 300,⁴ as well as the Arizona Special Education statutes, Arizona Revised Statutes (A.R.S.) §§ 15-761 through 15-774, and implementing rules, Arizona Administrative Code (A.A.C.) R7-2-401 through R7-2-406.⁵

Petitioners filed their due process complaint on June 5, 2007. A pre-hearing conference was held on July 16, 2007, and the parties discussed the issues presented in the complaint. By the time of the hearing in September, only one issue remained:

Whether Student is eligible for special education under the IDEA and Arizona law as a child with autism?

Petitioners agreed at the start of the hearing that this was the only issue to be addressed.⁶ Petitioners also understood and agreed that only eligibility would be addressed in this Decision, not what services, if any, should be provided if Student is found to meet eligibility under the autism category.

³ By Public Law 108-446, known as the "Individuals with Disabilities Education Improvement Act of 2004," IDEA 2004 became effective on July 1, 2005.

⁴ The current federal regulations became effective October 13, 2006, just *after* Respondent School District's decision to deny eligibility. This means that the pre-October 2006 regulations are the applicable regulations and would usually be applied and cited to herein. However, a comparison of the former and current regulations that apply to the issue in this case shows that they are substantially the same, the differences being only re-numbering and minor grammatical changes. Therefore, because there is no material difference, this Decision will apply and cite the current regulations.

Additionally, the promulgation of new regulations effective October 2006 also raised the interesting possibility that Student would be ineligible under the old regulations but eligible under the new regulations, or vice versa. But, as already mentioned, the applicable regulations are substantially the same and so that possibility is removed because eligibility criteria in the category of autism did not change with the new regulations.

It is noted that these rules are being revised to comport with the 2005 changes in federal and Arizona special education law, but have not yet been published by the Arizona Secretary of State.

⁶ An issue regarding reimbursement for testing and evaluations was settled and withdrawn the day before the hearing started. (See Petitioners' NOTICE OF WITHDRAWAL OF EXHIBITS, filed September 5, 2007, and Respondent School District's NOTICE OF WITHDRAWAL OF SPECIFIED EXHIBITS, filed September 5, 2007.)

The parties presented testimony and Exhibits at the hearing on September 6 and 7, 2007. Petitioners presented testimony from the witnesses noted above and Exhibits numbered 1 through 41, which were admitted into the record. Respondent School District presented testimony from the witnesses noted above and Exhibits numbered R1 through R35. The Administrative Law Judge has considered the entire record, including the testimony and exhibits, and now makes the following Findings of Fact, Decision, and Order finding that Student is not eligible for special education services as a child with autism as defined by the IDEA and Arizona law.

FINDINGS OF FACT

1. Student is currently a grader attending school in Respondent School District. He has been attending school within Respondent School District since preschool and has been identified as a child with disabilities the entire time. During his elementary school years, he was identified as eligible for special education under two categories: (1) specific learning disabilities (SLD) in oral and written expression, basic reading skills, listening comprehension, reading comprehension, reading fluency, and math calculation; and (2) speech language impairment. He has received special education and services addressing these disabilities, administered as pull-out and resource room additions to his regular education classroom setting. He has made some progress, but still lags behind in his areas of disabilities.

Suspicions of Autism—Dr. Nicholls' Evaluation

2. Over these years, Parents developed the growing sense that something more was causing Student's problems at school. In early 2006, they began to inquire about Respondent School District's programs and services for autistic children.

⁷ These Exhibits are listed and briefly described in PETITIONERS' LIST OF WITNESSES AND EXHIBITS filed August 28, 2007. Exhibits 5, 6, 8, 14, 15, 16, 20, 27, 34, 35, 37, 40, and 41 were not admitted for various reasons noted on the record. Exhibits 42 through 55 were withdrawn before the hearing started.

RESPONDENT'S LIST OF WITNESSES AND EXHIBITS was filed August 28, 2007. Exhibits R1, R29, and the last four pages of Exhibit R34 were not admitted for various reasons noted on the record. Regarding R29, Petitioners indicated toward the end of the second hearing day that they were going to object to the exhibit when it was offered. Respondent School District intended to offer R29 (this is evident from the record on the second day of hearing at about the six hour mark), but neglected to do so. It is therefore treated as not admitted. Exhibits R36 through R40 were withdrawn before the hearing started.

⁹ The Administrative Law Judge has read each admitted Exhibit, even if not mentioned in this Decision. The Administrative Law Judge has also considered the testimony of every witness, even if not mentioned in this Decision.

^{l0} See Exhibit R14.

4. Parents requested an Independent Educational Evaluation (IEE) to explore Student's condition further. An evaluation was performed in April 2006 by Christopher J. Nicholls, Ph.D. Dr. Nicholls is a clinical psychologist, licensed in Arizona and Ohio, and Board-certified in Pediatric Neuropsychology. He has been in private practice since 1987.¹³ He is well-qualified to evaluate children regarding psychological concerns. This tribunal also finds that Dr. Nicholls has expertise concerning autism and autism spectrum disorders.

5. As part of his evaluation, Dr. Nicholls performed an extremely thorough review of Student's prior evaluation records. In his "Psychological Evaluation" report, Dr. Nicholls' notes the results of assessments and testing of Student beginning with pre-school, which show delays in reading and language. Many records from evaluations in the 2005-2006 school year were reviewed. Dr. Nicholls noted documentation of significant delays in receptive and expressive language skills, and articulation. He noted severe impairment in phonological processing. Reading skills were also a noted problem. Dr. Nicholls reported that Student had been found eligible for special education in the categories of Specific Learning Disability and Speech/Language Impairment. He also reported that Student had been found eligible for Extended School Year (ESY) services in April 2006 in the area of reading. Finally, he noted the results of neuropsychological testing that showed many areas of "intact

¹¹ Exhibit R4.

¹² Id.

¹³ Exhibit 2.

¹⁴ Exhibit 3.

neuropsychological functioning" but other areas of impairment related to reading and memory. 15

6. Based on this data, Dr. Nicholls decided to investigate Student's presentation in relation to "the Autism spectrum of disorders." Therefore, he administered the Autism Diagnostic Inventory – Revised (ADI-R), a structured interview with Student's Parents. Dr. Nicholls used this instrument because it is a highly reliable resource for diagnosing autism, as he noted:

This instrument is considered the "gold standard" in the diagnosis of autism, which relies primarily on descriptions of an individual during the early years, and particularly between the ages of four and five years of age. The strengths of this approach lie in its objectification of symptoms that are unique to diagnosis of autism, and the developmental course an individual shows during the early years. The limitations of this approach are that it is primarily interview based, and relies upon parental report. The ADI-R is structured so as to assess the presence or absence of the American Psychiatric Association's Diagnostic and Statistical Manual's, and World Health Organization's diagnostic criteria for Autism.¹⁷

The questions are focused on three areas of development: Language and Communication Functions, Social Development and Play, and Interests and Behaviors. These areas are coded and scored, and there are "cut-offs" for the presence of autism.

7. The results for Student were that his scores were at or slightly above the cutoffs in each category. Some of these scores were no surprise, as Student clearly has
problems with language and communication. In the area of social interaction, results
showed that Student has had longstanding difficulties with making eye contact and
focusing attention on a person while that person is speaking. He shows some

¹⁵ *Id.* at 3. It should be noted that the neuropsychological testing was performed by Dr. Michael S. Lavoie, a neuropsychologist who worked in conjunction with Dr. Nicholls and had a limited role in the evaluation. Dr. Lavoie did not render a diagnosis. (See Exhibits R31 and R32.)

¹⁶ Id.

Id.

Id. at 6.

Exhibit R10), these Findings of Fact focus on the areas of social interaction and behaviors. It is settled that verbal and non-verbal communication problems are present in Student and that these can be caused by autism, which has been diagnosed in Student by medical professionals. The issue to reach in this Decision, as noted below, is whether there is autism that not only significantly affects verbal and non-verbal communication, but also significantly affects social interaction and adversely affects educational performance. See Conclusions of Law 4.

evidence of reciprocal social smiling but not in a regular or predictable manner."20 He wants to have friends, but has a hard time fitting in with groups. He shows empathy for others and love for his parents, but despite this "[Student] often does not seem to understand what is going on in his environment."²¹ He does not know how to relate to others. Dr. Nicholls noted that Student had much improved in these areas since his younger childhood.

- 8. Information brought forth in the ADI-R showed that Student has had some odd behaviors.²² It was reported that Student does not like to touch paper, and that this interferes with reading. He also is reported to have overly sensitive reactions to loud noises and the smell of magic markers. He is said to "walk on his toes" as a habit.²³
- 9. After describing the information gleaned from the questions to Parents in the areas of communication, social interaction, and behavior, Dr. Nicholls' report lists the results from his administration of the ADI-R. Student was at or slightly above the cut-off scores for autism in each of the areas. Dr. Nicholls noted that "[i]t is likely that [Student's] challenges in these areas have been a causative factor in his difficulties in progressing in school, and his lack of response to certain previous interventions."24 He noted that Student has "made substantial progress in several areas over the years" and credited the hard work of Student, parents, and teachers for development of coping skills that enable Student to function fairly well. 25 He also noted that Student has an average to low average intellectual level that helps him function well, in comparison to the more common occurrence of a pairing of autism and mental retardation. concluded that Student may be described as having "High Functioning Autism" and noted: "As such, he does not show many of the behaviors commonly thought to be necessary for this diagnosis, in that many of the symptoms considered by the lay public to represent autism are actually a reflection of the mental retardation that often accompanies this diagnosis."26

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²⁰ *Id.* at 5.

²¹ ld.

²² Id. at 5-6.

²⁴ Id. Note the use of the work "likely," leaving a note of uncertainty.

Id.; see also Exhibit 4.

- 10. Thus, the ADI-R, the primary diagnostic instrument that Dr. Nicholls used to evaluate Student, indicated that Student is autistic, as that term is defined by the DSM-IV.²⁷ but high functioning.
- 11. Dr. Nicholls also received some information from several of Student's teachers through the Behavior Assessment System for Children, Teacher Rating Scale—Adolescent, ²⁸ a questionnaire completed and returned by the responder, not a structured interview like the ADI-R. The information gleaned from the questionnaire showed elevated scores on the Anxiety scale and trouble with organization and executive functioning. ²⁹ The teachers' responses did not show as many symptoms within "the Autism spectrum" as the parents have reported, but Dr. Nicholls accounted for this by noting that Student is high-functioning and does not have many of the typical symptoms of autism. ³⁰
- 12. The report's "Conclusions and recommendations" acknowledges the speech/language challenges that Student faces, but adds that "[Student]'s learning challenges are felt to be additionally associated with the disruption in neuropsychological processes that constitute the clinical features of Autism" and that Student's special education categorization for speech/language impairment and learning disability "does not fully capture his needs." 31

Re-Evaluation by Respondent School District

13. Based on Dr. Nicholls' report of his evaluation of Student, Respondent School District decided to further evaluate Student, focusing on the suspected disability of autism.³² The observations described in Finding of Fact 3 were performed, along with further occupational therapy evaluation, and autism rating scales and other checklists completed by Student's special education teacher and Fifth Grade Teacher.³³ Also, Respondent School District reviewed recent evaluations of Student in auditory

³³ Exhibit R8 at 5-6, 8-13.

Id., "DSM-IV' stands for DIAGNOSTIC AND STATISTICAL MANUAL OF MENTAL DISORDERS, FOURTH EDITION.
 Although Lead Psychologist testified that Dr. Nicholls used an outdated version of the BASC, this claim was not established through adequate foundation.

²⁹ *Id.* at 7.

³⁰ *ld.* at 6-7.

¹ *Id.* at 7.

³² Student's most recent evaluation had occurred in August 2004. See Exhibit R8 at 1.

processing, speech and language, and occupational therapy.³⁴ More importantly, Respondent School District's School Psychologist administered the Autism Diagnostic Observation Schedule (ADOS), which is "a semi-structured, standardized assessment of communication, social interaction, and play for individuals referred for evaluation because of possible autism spectrum disorders."³⁵

- 14. School Psychologist, who administered the assessment and testified at the hearing, is a Masters-level school psychologist who is certified as such both nationally and by the State of Arizona.³⁶ She has been trained to administer the ADOS.³⁷ This tribunal finds that she is a competent and qualified examiner for the ADOS.
- 15. The ADOS lasts for generally about an hour and consists of various activities (puzzle, telling a story, picture description, etc.), which the child performs while interacting with the person administering the test. The examiner observes the child in many areas (speech abnormalities, echolalia, conversation, eye contact, facial expressions, empathy, insight, compulsions, etc.) and scores them according to specified coding scales. The raw scores are plugged into an algorithm to determine scores in several domains (communication, social interaction, and a combined score for both), and then to compare them to cut-off scores in order to obtain a classification of autism or a classification of autism spectrum disorder or neither. The ADOS is not designed to render a diagnosis, but can be used as part of an evaluation to determine a diagnosis. The authors of the ADOS are quite clear that cut-off scores must be exceeded in all three domains (communication, social interaction, combined) for a classification to be given. This means that the cut-off scores for autism must be exceeded in all three areas for a child to receive the classification of autism.
- 16. The ADOS given to Student by School Psychologist resulted in scores not even close to the cut-off for autism, and less distant (but still distant) from the cut-off

³⁴ *Id.* at 5-6.

³⁵ Id. at 6. Module 3, which is the appropriate module for Student, was administered.

³⁶ Exhibit R3a.

³⁷ Id., Certificate of Completion.

³⁸ Exhibit R7.

⁹ Exhibit R34.

^{lo} Id

scores for autism spectrum disorder.⁴¹ In sum, School Psychologist simply did not observe in Student many of the characteristics associated with autism.

- 17. Based on all of the information gathered (prior evaluations, recent evaluations including Dr. Nicholls' report, the results of the ADOS and other assessments) a multidisciplinary evaluation team that included Parents met on two dates in September 2006 to discuss and determine whether Student qualified for special education as a child with autism. Although the team did not reach unanimous agreement (Parents dissented), the majority of the team concluded that Student did not meet autism criteria for special education.⁴² The team was unanimous, however, in finding that Student exhibited "[i]rregularities or impairments in verbal and non-verbal communication."
- 18. Based on the records included with the autism eligibility determination form, 44 which include notes from the meetings in September, and based on the testimony of some of the members of the majority on the multidisciplinary evaluation team, 45 the team considered all the information gathered, including Dr. Nicholls' report. Dr. Nicholls' report did not persuade the majority of the team because those members did not think that Dr. Nicholls obtained much information about Student in the school setting. The information he gathered was almost entirely from Parents and seemed focused on early childhood development and behaviors at home that school personnel were not seeing in the school setting. In addition, Dr. Nicholls seemed focused on a clinical diagnosis rather than an educational diagnosis, and the team needed to determine an educational diagnosis to fulfill its legal obligations. Thus, for the majority of the team members, the absence of significant autistic-like behaviors observed at school meant that Student did not qualify for special education as a child with autism. 46

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44 Exhibits 13, R8, R9, and R10.

⁴¹ Exhibit R7.

⁴² Exhibit R10.

⁴³ ld.

⁴⁵ Testimony was received from the following team members: School Psychologist, Sixth Grade Teacher, Occupational Therapist, and Autism Consultant.

⁴⁶ For example, in addition to the observations noted in Finding of Fact 3 above, the occupational therapy assessment performed by Occupational Therapist in August 2006 did not find any concerns with adequate eye contact or sensory regulation. Exhibit R26.

19. Parents continued to express disagreement with the denial that Student met the criteria for the autism category. Early in 2007, Lead Psychologist contacted Dr. Nicholls seeking clarification about his April 2006 evaluation. Dr. Nicholls sent a letter to Lead Psychologist in January 2007 discussing the basis for his diagnosis of Autism. This letter, admitted as Exhibit 4 and Exhibit R33, is an important piece of evidence to consider.

20. Based on Dr. Nicholls' response in the letter, he was apparently told that the results of Respondent School District's ADOS did not show autism. He acknowledges that "educational diagnoses are different from clinical diagnoses" and that Respondent School District must follow the standards imposed by law. He then explains why Student might not exhibit typical symptoms of autism:

[I]t is my belief that [Student] indeed does fit the diagnosis of autism, but that as a result of his relatively high functioning levels of cognitive abilities and the dedicated efforts of his parents and former providers, he likely does not demonstrate the overt symptoms of this condition that are consistent with what many individuals understand autism to represent. It is also the case that [Student]'s symptoms may not meet the level of severity or pervasiveness that would trigger criteria on the ADOS, however this does not invalidate the diagnosis, in my opinion.⁴⁸

Dr. Nicholls then quotes one of the authors of the ADOS, Dr. Catherine Lord, to note that the ADOS can be under-inclusive "with very mild, verbal adolescents and adults with autism spectrum disorders." ⁴⁹ Dr. Nicholls then notes that Student is in a subtype of the autism spectrum because of his high functioning and opines that Student's intelligence and development of sufficient coping skills may have allowed him to "pass" the ADOS. Nevertheless, Dr. Nicholls continues to find that an autism diagnosis is supported by the information he gathered and reviewed and he continues to believe that it is a necessary component to fully describe Student's challenges.

21. It appears that Dr. Nicholls was also told that Student was functioning relatively well in the educational setting, because he acknowledges that observation

⁴⁷ Exhibits 4, R33.

^{ຼັ} Id

⁴⁹ *Id.* (footnote omitted; emphasis added).

and concedes that Student "may not require a higher levels [sic] of environmental restriction implicated by a self-contained classroom for autistic children."50 He points out that Student did show signs of emotional distress and difficulties with executive functions. He then declares that "[Student]'s difficulties therefore pose some degree of adverse educational impact. . . . "51

- 22. Finally, Dr. Nicholls concludes his letter by deferring to Lead Psychologist (and by association to Respondent School District): "I do not presume to have your expertise in school psychology and defer to your judgment regarding the most appropriate educational program for [Student]."52
- 23. In June 2007, Petitioners filed their due process hearing complaint. In Preparation for Hearing
- 24. In August 2007, Petitioners obtained another psychological evaluation, this time from Janet Chao, Ph.D. Dr. Chao is an Arizona-licensed psychologist and a certified school psychologist. She has been in private practice at the Melmed Center in Phoenix for over ten years, specializing in assessment and treatment of children and adolescents with attention, behavioral, learning and/or developmental challenges. She is trained and qualified to administer the ADOS, and has been doing so for more than five years.53
- 25. Dr. Chao reviewed available records concerning Student, given to her by Parents, most notably Dr. Nicholls' report. She was also given much of the documentation from the September 2006 eligibility determination, but it did not have a cover letter or title page that identified it as such, so it was difficult for Dr. Chao to determine its context. Dr. Chao's primary testing of Student was to administer the ADOS. Her goal, as stated in her "Psychological Evaluation," was "to provide diagnostic clarity and further information about the presence and severity of symptoms related to the diagnosis of autism."54

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⁵⁰ *Id.*

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⁵² Id.

⁵³ Exhibit 11.

Exhibit 12. Dr. Chao, like School Psychologist, administered Module 3 of the ADOS.

26. Dr. Chao reports observations made both before and during the administration of the ADOS. She notes that Student did not have trouble separating from Parents for the testing. During the testing, his head was down with eyes averted and low affect observed. Dr. Chao reports that the quality of rapport was "awkward." She states that Student "seemed lethargic and put his hand to his head frequently." Asked if he had a headache, he responded that he did. Dr. Chao notes that Student's eye contact was poorly modulated and that conversational comments from the examiner were repeatedly dropped without verbal or non-verbal response. Although Dr. Chao notes that "Test results are considered to be representative of [Student]'s current functioning," based on the whole of the evidence submitted at hearing, it is evident that Student was having a "bad day" on this date. While this does not invalidate the results of the test, does provide a more narrow context for the results than perhaps Dr. Chao was aware. Combined with the results from the Respondent School District's ADOS, it gives information about how Student presents on both "good days" and "bad days."

27. While Dr. Chao did observe behaviors that are consistent with autism, such as those noted above, she also notes the absence of others. She did not observe any sensory issues or idiosyncratic use of words or phrases. No echolalia was observed. Neither did Student exhibit "finger mannerisms, self-injurious behaviors, compulsions, or excessive reference to a topic." 59

28. The results from Dr. Chao's ADOS testing were that he did not meet the cutoff score for autism in the Communication domain, but was just at the cut-off in that
domain for autism spectrum. Because of this, according to the authors of the test, 60
Student could not be classified as autistic under the ADOS, even though he did exceed
the cut-off scores for the Social Interaction domain and the Combined score.

⁵⁵ *Id.* at 2.

⁵⁶ ld.

[&]quot; ld.

As far as this tribunal can determine.

^{ຼື} *Ia.* at 3

⁵⁰ See Finding of Fact 15 above; Exhibit R34.

Nevertheless, Dr. Chao concluded that "[Student]'s behavior presentation is consistent with an ADOS diagnosis of Autistic Disorder."

- 29. Dr. Chao then took the information that she had gathered, primarily from her observations during the ADOS, and, like Dr. Nicholls, compared it to the DSM-IV diagnostic criteria for Autistic Disorder. She found that Student met those criteria and diagnosed him with autism.⁶² This is clearly a clinical, not educational, diagnosis.
- 30. Also in August 2007, about two weeks before the hearing, Lead Psychologist observed Student at school, and School Psychologist observed Student, for the second time, at school. Lead Psychologist observed Student during a math class in a regular education setting. She found that he interacted with the teacher appropriately, followed directions without prompting, and wrote on paper in his notebook with no apparent problem touching the paper. She found that in between class he initiated conversation with other students, and the math teacher reported that when students must get partners for an activity, Student will initiate partnership with other students.
- 31. School Psychologist observed Student during Physical Education (PE) class.⁶⁴ During this class the students were working out with weights and weight machines. This involved many students in one room and turn-taking, which Student had no problems with. Also, the location was noisy, but Student showed no apparent signs of trouble with the noise. Once again, observations of Student in the school setting showed no behaviors commonly associated with autism or that interfered with his ability to participate in his education.

At Hearing

32. At hearing, Respondent School District called as witnesses Lead Psychologist, School Psychologist, Fifth Grade Teacher, Sixth Grade Teacher, School Social Worker, Occupational Therapist, Speech Language Pathologist, and Autism Consultant. Many of these witnesses have spent large amounts of time with Student at school. They generally confirmed what the multidisciplinary evaluation team had concluded in September 2006: that Student has a few mild behaviors that are

⁶¹ Exhibit 12 at 3.

⁶² *ld.* at 4.

⁶³ Exhibit R28.

commonly associated with autism (inconsistent eye contact, occasional toe-walking, repetitive face touching) but that do not interfere with his education.

- 33. Petitioners called two witnesses other than the expert evaluators Drs. Nicholls and Chao. Student's Mother testified about Student's background and history as well as his behavior at home. As evident from the ADI-R results, Student's behavior at home seems to be quite different than what is observed at school.⁶⁵
- 34. Petitioners also called Friend, who is acquainted with Student outside of school, has an autistic son, and does work for a non-profit organization that helps disabled children. She observed Student at school and noted several repetitive behaviors. The behaviors did not seem to interfere with his education, however.
- 35. Most importantly, the parties called their expert witnesses to the stand. Dr. Nicholls supported and defended his report. He confirmed his diagnosis of autism and explained his use of the ADI-R rather than the ADOS. He decided that the ADI-R would be a better instrument for Student because he is older (not a child) and higher functioning, as it is his opinion that the ADOS is better suited for younger and low-functioning children and can sometimes "miss" higher-functioning autism. He acknowledged that his report is limited by the fact that he did not see Student personally. He characterized his evaluation as a "forensic" evaluation. He emphasized that Student was experiencing high levels of anxiety and problems with organization and management that might lead to behavioral problems if not addressed. He also acknowledged that Student has shown progress over time.
- 36. When Dr. Nicholls was asked how the anxiety that he was seeing reported by Student's teachers fit with autism, Dr. Nicholls answered by describing how disabilities in general cause anxiety in performance of daily activities and especially for Student at school. He did not, however, differentiate, between the anxiety that Student may be experiencing from his specific learning and speech language disabilities and any autism that may be present. Perhaps this is not possible, but in any event it was

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During Mother's testimony, Petitioners admitted Exhibit 10, a very brief letter from a Speech Pathology Assistant about observations of Student. This Exhibit has been given no weight. It is extremely brief and provides little to no foundation for its statements. In addition, it is inconsistent with Exhibit R35, an

not done. So, the anxiety that Dr. Nicholls emphasized cannot be said to be a indication of autism, since it may just as likely be stemming from Student's other disabilities.

- 37. Dr. Nicholls emphasized that he understood Student to have problems maintaining eye contact. He agreed with Parents' concerns that this might interfere with Student's ability to be successful in his reading program because the program relies on participants observing lip movements of the teacher. However, apparently unbeknownst to Dr. Nicholls, there is evidence that Student has made good progress in his reading program. So, these concerns are not borne out by other evidence of which Dr. Nicholls was not aware.
- 38. Dr. Nicholls candidly admitted that his evaluation was limited. He noted that he normally does three times the amount of work, but was limited in this instance by financial considerations. It appears that Dr. Nicholls' report is best viewed as a forensic psychological evaluation focused on the clinical diagnosis of autism, rather than a psycho-educational evaluation exploring an educational diagnosis of autism.
- 39. In sum, while Dr. Nicholls confirmed his clinical diagnosis of autism, he was not asked and so did not state whether Student had an educational diagnosis of autism.⁶⁷
- 40. Dr. Chao also testified; she too explained and defended her report. She explained that because Dr. Nicholls had administered the ADI-R, she decided to perform the ADOS. She described the ADOS and commented about how the observations should be coded. She acknowledged that Student stated he had a

evaluation report from the supervisor of the author of Exhibit 10 who contradicts Exhibit 10 with regard to eye contact.

⁶⁶ Exhibit R9, Meeting Summary for September 26, 2006.

During his testimony, Dr. Nicholls was asked if he agreed with a statement by the National Research Council's Committee on Educational Interventions for Children with Autism, of which Dr. Catherine Lord, an expert in the field of autism, is associated. The statement is that the Committee recommends that all children with autism, regardless of severity or level of functioning should be eligible for special education. (Exhibit 7.) This is not the current state of the law, and the recommendation appears to be from about 2001. Dr. Nicholls expressed agreement with the recommendation. It is not clear, however, that this has any bearing on the credibility of his report or testimony, since he did not directly reach the issue of whether Student has an educational diagnosis of autism. It is also not clear why Petitioners referenced the recommendation. This tribunal does not take the statement to mean that all children with autism meet the IDEA criteria; rather, the statement recognizes that under the current state of the law some children with

headache and appeared to be tired during the test. She emphasized that Student did not have a four-part conversation with her during the test, although he had some verbal interactions with her. At one point during cross-examination, she acknowledged that she did not have a great deal of information about Student in all settings, but was basing her conclusions on her testing, her observations, and the information that she was given.

- 41. There is no reason to doubt that Dr. Chao properly administered the ADOS and scored it according to her observations. She did not, however, as noted above, give an appropriate classification. Given the scores, she should not have concluded a classification of autism. Also, it is clear that her evaluation was not a psychoeducational evaluation as contemplated by the IDEA. It is a limited piece of evidence in a larger group of evidence about Student. Her report concludes with a clinical diagnosis of autism, but not an educational diagnosis.
- 42. School Psychologist provided clear and reliable testimony about her administration of the ADOS to Student and about her observations of Student in the school setting. As the main compiler of the information for the multidisciplinary evaluation team, she also reviewed the information that team had in September 2006. Further, she described the thinking of the majority of the team regarding why they did not find Student to meet the criteria for autism. Since her testimony was focused on Student's functioning in the school setting and is supported by documentation, her testimony is given significant weight.

autism WILL NOT meet the criteria. It is a recommendation to change that aspect of the law. As such, it has no value as an evidentiary matter.

Finding of Fact 15.

⁶⁸ Based on her demeanor, it was clear to this tribunal that, although Dr. Chao had administered Student's ADOS a little over a month before the hearing, she was relying primarily on her notes of the interaction rather than an independent recollection. While this is not a major factor in this tribunal's analysis, it is noted.

CONCLUSIONS OF LAW

This case raises issues concerning Student's eligibility and the evaluation process. The applicable law in these areas is as follows.

APPLICABLE LAW

1. Through the IDEA, Congress has sought to ensure that all children with disabilities are offered a free appropriate public education that meets their individual needs. These needs include academic, social, health, emotional, communicative, physical, and vocational needs. To do this, school districts must identify and evaluate all children within their geographical boundaries who may be in need of special education and services. The IDEA sets forth requirements for the identification, assessment and placement of students who need special education, and seeks to ensure that they receive a free appropriate public education. A free appropriate public education (FAPE) consists of "personalized instruction with sufficient support services to permit the child to benefit educationally from that instruction."

Eligibility and Evaluation

- 2. To provide the instruction and services required by the law, school districts must inform themselves about a student's disability and needs. This is accomplished by conducting "a full and individual initial evaluation" and subsequent re-evaluations to determine the child's eligibility and educational needs. This consists of reviewing existing data and identifying any additional data that is needed. When further assessment or testing is needed, the school district is responsible for procuring it. To
- 3. To be eligible for a free appropriate public education, a student must be a "child with a disability." This means that the student has a disability falling within one of ten enumerated disability categories (or multiple disabilities), including mental retardation, hearing and visual impairments, serious emotional disturbance, autism, or

⁷⁰ 20 U.S.C. §1400(d); 34 C.F.R. § 300.1.

⁷¹ Seattle Sch. Dist. No. 1 v. B.S., 82 F.3d 1493, 1500 (9th Cir. 1996) (quoting H.R. Rep. No. 410, 1983 U.S.C.C.A.N. 2088, 2106).

⁷² Hendrick Hudson Central Sch. Dist. Bd. of Educ. v. Rowley, 458 U.S. 176, 204 (1982).

⁷³ 20 U.S.C. § 1414(a)(1) and (a)(2).

⁷⁴ 20 U.S.C. § 1414(c)(1). ⁷⁵ 20 U.S.C. § 1414(c)(2).

other health impairments, and because of the disability (or disabilities) needs special education and related services.⁷⁷ Specifically, an eligible student is "a child evaluated in accordance with [IDEA regulations] as having [an enumerated disability], and who, by reason thereof, needs special education and related services."⁷⁸

4. Autism is one of the enumerated disabilities. It is defined as:

[A] developmental disability significantly affecting verbal and nonverbal communication and social interaction, generally evident before age three, that adversely affects a child's educational performance. Other characteristics often associated with autism are engagement in repetitive activities and stereotyped movements, resistance to environmental change or change in daily routines, and unusual responses to sensory experiences. 79

This definition requires that the developmental disability significantly affect both communication and social interaction. It also requires that the disability adversely affect educational performance.⁸⁰ This echoes the second prong of the "child with a disability" definition, which also stipulates that the disability must affect a student's education.

- 5. Thus, eligibility for special education requires both an enumerated disability and the need for special education. "Special education" is "specially designed instruction . . . to meet the unique needs of a child with a disability. . . . "81" "Specially designed instruction" is instruction that is adapted to meet the unique needs of the child by changing the content, methodology, or delivery of the instruction.⁸² So, only children who have a disability in one of the enumerated categories and, because of the disability, require specially designed instruction are eligible for special education and services.
- 6. In order to determine whether a child has a categorical disability and the nature and extent of any special education he may need, an evaluation process is

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^{76 20} U.S.C. § 1412(a)(1)(A).
77 20 U.S.C. § 1401(3).
78 34 C.F.R. § 300.8(a)(1); see A.R.S. § 15-761(2).

⁷⁹ 34 C.F.R. § 300.8(c)(1)(i)(emphasis added); see A.R.S. § 15-761(1) (substantially the same definition). This is the reason that several of the witnesses distinguished between a "medical" diagnosis of autism and an "educational" diagnosis of autism.

⁸¹ 34 C.F.R. § 300.39(a); see A.R.S. § 15-761(31). ⁸² 34 C.F.R. § 300.39((b)(3); see A.R.S. § 15-761(33).

mandated.83 In conducting the evaluation, the school district must use a variety of means for gathering a variety of information about the student, including information from the parent.84 The goal is to gather functional, developmental, and academic information about the child so that the evaluation is comprehensive as to the student's educational needs.85 This information should come from teachers, parents, medical professionals, and other specialists who have assessed, evaluated, tested, and observed the student in a variety of settings but especially in the classroom.86 Of primary importance are comprehensive educational evaluations performed by specialists (usually educational psychologists).87

- 7. The determination of whether a child is eligible and what his needs are is made by a multi-person team, which in Arizona is called the "multidisciplinary evaluation team" (MET).88 As the name suggests, this team is made up of those with knowledge of the student and expertise in the various fields that are relevant to the student's disability and education. The MET includes the parents.89 The MET gathers all the information described above and carefully considers it. 90 If it determines that the child is eligible, an IEP must be developed.91 If not, the parents are officially notified in writing⁹² and may request a due process hearing to challenge the team's conclusion.⁹³
- 8. In a case where a student has multiple disabilities, it is important to identify each categorical disability so that an individualized educational program ("IEP") can be written addressing the student's educational needs that are a result of each disability. An IEP is not required to address educational needs that are not the result of a categorical disability.94

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^{83 20} U.S.C. § 1414(a)(1); 34 C.F.R. § 300.15; A.R.S. § 15-766.

^{84 34} C.F.R. § 300.304(b); 34 C.F.R. § 300.306(c).

^{85 34} C.F.R. § 300.304(c).

^{86 34} C.F.R. § 300.305(a); 34 C.F.R. § 300.306(c)(i).

See 34 C.F.R. § 300.304(c). Note that educational evaluations are so important that the parent is given a right to an independent evaluation at no cost to parent. 34 C.F.R. § 300.502.

A.R.S. § 15-761(15).

⁸⁹ Id.; 34 C.F.R. § 300.306(a)(1).

⁹⁰ 34 C.F.R. § 300.306(c).

⁹² 34 C.F.R. § 300.503(a).

⁹³ 34 C.F.R. § 300.507(a).

³⁴ C.F.R. § 300.320(d).

DECISION

- 9. A parent who files for a due process hearing alleging non-compliance with the IDEA must bear the burden of proving that claim. The standard of proof is "preponderance of the evidence," meaning evidence showing that a particular fact is "more probable than not." Therefore, Petitioners bear the burden of proving by a preponderance of evidence that Student is eligible for special education under the autism category. Petitioners have not met the burden with regard to autism because they have not shown that Student meets all criteria for the autism eligibility category.
- 10. The evidence of record supports some, but not all, of the elements of the definition of autism in the IDEA: "[A] developmental disability significantly affecting verbal and nonverbal communication and social interaction, generally evident before age three, that adversely affects a child's educational performance." Evidence shows that Student has the developmental disability of autism by virtue of the clinical diagnoses that have been rendered. Evidence also shows that the autism disability significantly affects Student's verbal and nonverbal communication. Evidence does not show, however, the Student's social interaction is significantly affected at school. Thus, Student's clinical autism has not been shown to significantly affect communication and social interaction and adversely affect Student's educational performance. Student is, as described by Dr. Nicholls, "high functioning" on the autism spectrum. This must explain why his teachers and others who work with him and observe him at school are not observing any adverse affect in his social interactions at school.

95 Schaffer v. Weast, 546 U.S. 49, 126 S. Ct. 528 (2005).

Exhibit R10.

⁹⁶ Concrete Pipe & Prods. v. Constr. Laborers Pension Trust, 508 U.S. 602, 622, 113 S. Ct. 2264, 2279 (1993) quoting In re Winship, 397 U.S. 358, 371-372 (1970); see also Culpepper v. State, 187 Ariz. 431, 437, 930 P.2d 508, 514 (Ct. App. 1996); In the Matter of the Appeal in Maricopa County Juvenile Action No. J-84984, 138 Ariz. 282, 283, 674 P.2d 836, 837 (1983).

⁹⁷ 34 C.F.R. § 300.8(c)(1)(i)(emphasis added). The phrase "generally evident before age three" is not a mandatory element of the definition; 34 C.F.R. § 300.8(c)(1)(iii) makes it optional by declaring that a child who manifests characteristics of autism after age three could be eligible under the autism category if the other criteria in § 300.8(c)(1)(i) are found. This is yet another distinction between clinical autism and educational autism, as the DSM-IV criteria for autism requires the onset of certain characteristics before the age of three. Exhibit R2. Because the "generally evident before age three" phrase in the IDEA definition is not mandatory, it has not been addressed herein.

12. In addition, when explaining and clarifying his conclusions in the January 2007 letter to Lead Psychologist, Dr. Nicholls noted some "adverse educational impact" Student was experiencing. However, it is not clear what he meant. After noting that Student was functioning "relatively well," but that he was experiencing anxiety and problems with executive functioning, he then states that Student's "difficulties therefore pose some degree of an adverse educational impact. . . . "104 It is not clear as to what degree he thinks Student is affected; is "some degree" a small degree or a large degree? Under the IDEA, there must be a significant affect. Further, it appears that Dr. Nicholls is referring to the anxiety and executive function problems as the "difficulties," and not directly to autism. It is not clear that these difficulties are a result of autism or the other disabilities that Student struggles with. Petitioners did not clarify this. As the party bearing the burden of persuasion, it was important that Petitioners show each element of the IDEA definition. Yet, they have failed to show how autism, clinically diagnosed in Student, is significantly affecting his social interaction at school in a way that adversely affects his education.

103 Finding of Fact 21.

This Decision does not address the validity of clinical diagnoses, even though some evidence was presented that casts doubt on it.

For example, both evaluations are entitled "Psychological Evaluation" rather than identifying themselves as psycho-educational evaluations. The use of the DSM-IV, while appropriate in a clinical context, does not necessarily help determine IDEA eligibility, for the reasons already noted.

¹⁰¹ Dr. Nicholls appears to have deferred to Respondent School District's judgment in this regard. See Finding of Fact 22.

lncluding the Addendum, Exhibit R8.

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13. For these reasons, this tribunal does not find, on this record, that Student's clinical autism is causing him significant problems in the school setting. Therefore, it has not been shown that Student qualifies for special education and services under the category of autism.

ORDER

Based on the findings and conclusions above, IT IS HEREBY ORDERED that the relief requested in the due process complaint is denied. Student does not qualify as a student with autism for purposes of special education.

Done this 29th day of October 2007.

OFFICE OF ADMINISTRATIVE HEARINGS

Administrative Law Judge

RIGHT TO SEEK JUDICIAL REVIEW

Pursuant to 20 U.S.C. § 1415(i) and A.R.S. § 15-766(F)(3), this Decision and Order is the final decision at the administrative level. Furthermore, any party aggrieved by the findings and decisions made herein has the right to bring a civil action, with respect to the complaint presented, in any State court of competent jurisdiction or in a district court of the United States. Any action for judicial review must be filed within 90 days of the date of the Decision or, if the State has an explicit time limitation for bringing this type of action, in such time as the State law allows.

Copy sent by fax and mailed by certified mail (No. 7001 0360 0002 8217 1556 this 29 day of October 2007, to: 2 3 Lori Kirsch-Goodwin KIRSCH-GOODWIN & KIRSCH, PLLC 4 8787 E. Pinnacle Peak Road, Suite 210 5 Scottsdale, Arizona 85255 Attorney for Petitioners 6 FAX: 480-585-0622 7 Copy sent by electronic mail and mailed by certified mail (No. _ 7001 0360 0002 8217 1563 8 this 29 day of October 2007, to: 9 Denise Lowell-Britt 10 UDALL, SHUMWAY & LYONS, P.L.C. 30 West First Street Mesa, AZ 85201-6695 12 Attorneys for Respondent School District 13 dlb@udalishumway.com 14 15 Copy mailed by interdepartmental mail this 29 day of October 2007, to: 16 17 Colette Chapman, Exceptional Student Services Arizona Department of Education 18 ATTN: Kacey Gregson 1535 West Jefferson 19 Phoenix, AZ 85007 20 21 By Chris Fishleh 22 23 24 25

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